

06-25-01

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BAKER BOTTS LLP

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UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	A32436-PCT-USA-A-072
First Inventor	BERTRAM JACOBS
Title	VIRAL VECTORS * see attached
Express Mail Label No.	EF321684821US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- | | |
|--|--|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)
<i>(Submit an original and a duplicate for fee processing)</i></p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status.
See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>15</u>]
<i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description <p><input checked="" type="checkbox"/> Claim(s) [Total Sheets <u>2</u>]</p> <p><input checked="" type="checkbox"/> Abstract of the Disclosure [Total Sheets <u>1</u>]</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>3</u>]</p> <p>5. Oath or Declaration [Total Pages <u> </u>]</p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d))
<i>(for continuation/divisional with Box 18 completed)</i></p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission
<i>(if applicable, all necessary)</i></p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> <p>9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney
<i>(when there is an assignee)</i></p> <p>11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i></p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)
<i>(Should be specifically itemized)</i></p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s)
<i>(if foreign priority is claimed)</i></p> <p>16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input type="checkbox"/> Other:</p> |
|--|--|

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: PCT/US00/10948

Prior application information:

Examiner:

Group Art Unit:

☒ Customer Number or Bar Code Label

21003

(Insert Customer No. or Attach bar code label here)

or



Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Janet M. MacLeod

Registration No. (Attorney/Agent)

35,263

Signature

Janet M MacLeod

Date

6/22/2001

 06/22/01
 09/887295
 06/22/01

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 06/22/01

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Addendum Sheet 1

*Question 4 Addendum

4.a. Drawings are ☐ formal ☒ informal

* Question 5 Addendum

5.c. ☐ An unsigned oath or declaration is included.

* Question 8 Addendum

8.d. ☐ A sequence submission will follow.

* Question 9 Addendum

9.a. ☒ Assignment documents will follow.9.b. ☐ Assignment documents have been filed in
parent application No.

* Question 11 Addendum

11.a. ☐ English translation will follow.

* Question 12 Addendum

12.a. ☐ Copies of IDS citations will follow.

* Question 15 Addendum

15.a. ☐ Certified copies of priority documents will follow.15.b. ☐ Certified copies of priority documents have been filed in parent
application No.

Use the space below for additional information

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Title (continued):

VIRAL VECTORS HAVING ENHANCED EFFECTIVENESS WITH REDUCED VIRULENCE

Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner _____ Group Art Unit: _____

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner _____ Group Art Unit: _____

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner _____ Group Art Unit: _____

☐ Amend the specification by inserting before the first line the sentence(s)

☐ "This application is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ "This application is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein."

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

Foreign Applications:

Country: _____	Serial No: _____	Filing Date: _____
Country: _____	Serial No: _____	Filing Date: _____
Country: _____	Serial No: _____	Filing Date: _____

Provisional Applications:

Serial No: <u>60/136,277</u>	Filing Date: <u>May 27, 1999</u>
Serial No: _____	Filing Date: _____
Serial No: _____	Filing Date: _____

Patent fees are subject to annual revision		Complete if Known		
		Application Number	A32436-pct-usa-a-072448.0309	
		Filing Date	June 21, 20001	
		First Named Inventor	BERTRAM JACOBS	
		Examiner Name		
		Group Art Unit		
(\$)		355	Attorney Docket No.	A32436-PCT-USA-A-072448.0309

		(continued)	
<input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to Deposit Account Number 02-4377 Deposit Account Name Baker Botts LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other			
710 355 Utility filing fee 355 320 160 Design filing fee 490 245 Plant filing fee 710 355 Reissue filing fee 150 75 Provisional filing fee (\$)	355 160 245 355 75 355		
Total Claims 11 .20** = 0 x 0 = 0 Independent Claims 2 -3** = 0 x 0 = 0 Multiple Dependent 9 = 0			
18 9 Claims in excess of 20 80 40 Independent claims in excess of 3 270 135 Multiple dependent claim, if not paid 80 40 ** Reissue independent claims over original patent 18 9 ** Reissue claims in excess of 20 and over original patent (\$)			
130 65 Surcharge - late filing fee or oath 50 25 Surcharge - late provisional filing fee or cover sheet 130 130 Non-English specification 2,520 2,520 For filing a request for ex parte reexamination 920* 920* Requesting publication of SIR prior to Examiner action 1,840* 1,840* Requesting publication of SIR after Examiner action 110 55 Extension for reply within first month 390 195 Extension for reply within second month 890 445 Extension for reply within third month 1,390 695 Extension for reply within fourth month 1,890 945 Extension for reply within fifth month 310 155 Notice of Appeal 310 155 Filing a brief in support of an appeal 270 135 Request for oral hearing 1,510 1,510 Petition to institute a public use proceeding 110 55 Petition to revive - unavoidable 1,240 620 Petition to revive - unintentional 1,240 620 Utility issue fee (or reissue) 440 220 Design issue fee 600 300 Plant issue fee 130 130 Petitions to the Commissioner 50 50 Processing fee under 37 CFR 1.17(q) 180 180 Submission of Information Disclosure Stmt 40 40 Recording each patent assignment per property (times number of properties) 710 355 Filing a submission after final rejection (37 CFR § 1.129(a)) 710 355 For each additional invention to be examined (37 CFR § 1.129(b)) 710 355 Request for Continued Examination (RCE) 900 900 Request for expedited examination of a design application			
Other fee (specify) _____ (\$)		(\$) 0	

**or number previously paid, if greater, For Reissues, see above

*Reduced by Basic Filing Fee Paid

Complete (if applicable)			
Name (Print/Type)	Janet M. MacLeod	Registration No (Attorney/Agent)	35,263
Signature	<i>Janet M MacLeod</i>	Telephone	(212) 408-2597
		Date	June 22, 2001